CDSS

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ALL COUNTY INFORMATION NOTICE NO. I-59-08

REASON FOR THIS TRANSMITTAL
[ ] State Law Change
[ ] Federal Law or Regulation Change
[ ] Court Order
[ ] Clarification Requested by One or More Counties
[X] Initiated by CDSS

TO: ALL COUNTY WELFARE DIRECTORS
            ALL COUNTY ENTERPRISE II LITE (E2L) CONTACTS
            ALL COUNTY FIELD OPERATIONS BUREAU (FOB) CONTACTS

SUBJECT: SAMPLE WEIGHTING METHODOLOGY FOR THE FEDERAL FISCAL
           YEAR (FFY) 2007 COUNTY TEMPORARY ASSISTANCE FOR NEEDY
           FAMILIES (TANF) PROGRAM WORK PARTICIPATION RATES

This notice transmits information regarding the sample weighting methodology for the county work participation rates (Co WPR) for the TANF Program. The attached "FFY 2007 Co WPR Weighting Methodology" document was presented at the Performance Measurement Counties (PMC) meeting on April 30, 2008, by the Federal Data Reporting and Analysis Bureau (FDRAB) staff. Also attached is a question and answer document that addresses commonly-asked questions about Co WPR sampling, many of which were received at the PMC meeting.

The federal TANF sample is the basis for the calculation of California's official TANF WPR that is used for the determination of federal TANF penalties and program characteristics. It is an annual sample that is valid only on a statewide basis and includes work participation and other demographic and program data regarding TANF families. For FFY 2007, the data is collected through the Quality Control Information System (Q5i).

The federal (Q5i) sample is a statewide sample and does not have a sufficient number of cases for each county to provide statistically valid county WPRs. As a result, additional county-specific samples were needed and a new data collection system, Enterprise II Lite (E2L), was implemented to collect necessary work participation related data. The Co WPR sample consists of the combination of each county's federal (Q5i) sample and its entire E2L sample. This new data collection system replaced the County TANF Work Participation Rate Monthly Report (WTW 30) in October 2006. Because Co WPR samples are stratified to include sufficient data to produce both All Family and

Two-parent WPRs, a case weighting methodology must be utilized to compensate for disproportionate sampling of the sub-groups (strata). Each county has its own set of monthly case weights that are associated with each completed case and must be used when analyzing the data. The case weights are dependent on how the case was sampled (stratum), the sample month, and the stratum caseload for the month, and are subject to change whenever any of these variables change. Please refer to the attachments for further explanation of this methodology.

Counties receive monthly Co WPR data files, error reports, and work participation reports via email for reconciliation purposes. Beginning June 2008, the Co WPR data files were modified to include three additional fields (stratum code, completion code, and case weight) to assist counties in validating their computed rates.

Questions regarding this information should be directed to your FDRAB County Consultant at (916) 515-3525.

Original Document Signed by
Kären Cagle on 8/8/08

KÄREN CAGLE, Chief
Estimates and Research Services Branch

Attachments

c: County Welfare Directors Association of California

County Work Participation Rate (Co WPR) Weighting Methodology (FFY 2007)

Background: Sample Design

The sample design and methodology is based on the current federally approved TANF sample plan. All samples are drawn from the Medical Eligibility Data Systems (MEDS) file. The monthly sample frames are determined by TANF aid codes and eligibility status codes from the MEDS. The frames consist of all cases that are eligible for TANF assistance in each sample month, including KinGap[1]. Each month, once the federal TANF sample cases are drawn, additional county specific sample cases (E2L) are drawn from the corresponding federal sample frames with the previously selected federal sample cases removed. This is to ensure that a case does not have more than one chance to be selected into the samples. The following is a description of the three types of samples that are drawn.

Federal (Q5i) sample:
The federal active sample is an annual statewide stratified 3,000 case sample that is the basis for the federal statewide work participation rate calculations and other demographic information used to evaluate the TANF program. The data is collected in the Q5i system and consists of case characteristics and work participation data. The sample is drawn on a monthly basis, with approximately 1/12 of the total samples drawn each month. It is statistically valid only on an annual statewide basis. Per federal requirements, it consists of three strata with minimum completed case samples of:
- 1) 600 ongoing two parent (2P) cases (review type "C"),
- 2) 1,800 ongoing non-2P cases (review type "A"), and
- 3) 600 newly approved cases (combined 2P and non-2P, review type "B")

E2L sample:
The E2L sample is a county specific sample that is combined with the federal samples to produce the Co WPR sample. The data is collected in the E2L system and consists of work participation related data only. This sample is not statistically valid for use by itself for any purpose other than data collection. The samples are drawn in a similar manner as the federal sample but without the "new approved" stratification. Each county has two types of E2L sample cases:
- 1) 2P cases, including ongoing and newly approved (review type "H") and
- 2) non-2P cases, including ongoing and newly approved (review type "G")

Co WPR sample:
The Co WPR sample is the basis for the county TANF work participation rate calculations and any associated work participation ad hocs. It is the combination of each county's Q5i and E2L samples. Every county has two samples, the sizes of which are dependent on their caseload size and 2P caseload proportions. Typically, with the exception of smaller counties, minimum sample sizes are:
- 1) 600 2P cases (review type "C", "H", "B-2P") and
- 2) 1,800 non-2P cases (review types "A", "G", "B non-2P")

The All Family work participation rates include data from both samples and the Two-Parent rates only include the two parent sample data.

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[1] To maintain consistency with the federal sampling methodology, KinGap cases are included in all sample frames and included in the calculation of case weights. But by definition, they are excluded from the WPR calculations.

Weighting of the Samples

Since both state and federal WPR data collection systems are based on stratified samples of active TANF cases, the samples must be weighted in order to compensate for disproportionate sampling from the various strata found on page one. Each county has its own set of monthly case weights that are applied to each completed sample case depending on how it was sampled (or stratum), the month it was sampled, and the stratum caseload for the sample month. Case weights are recalculated throughout the year whenever stratum universes and/or sample data are updated.

The case weights are determined by dividing the stratum caseloads (as determined by the monthly TANF cash grant caseloads from the CA 237CW) by the corresponding number of completed cases in each stratum for the sample month. This methodology is based upon the federal sample design.

The actual calculation of the weights is complex. The stratification of "newly approved" cases in the Q5i sample requires that the Co WPR case weights be adjusted so that they do not disproportionately affect the WPR calculations or any data analysis. But since many counties will not always have any federal Q5i newly approved sample cases (review type "B") in a sample month, two sets of formulas are necessary.

The steps for establishing the monthly Co WPR case weights for each county are as follows:

Step 1: Create four Co WPR strata and determine the number of completed cases in each stratum as illustrated below. These strata are used for Co WPR case weighting purposes only.

A completed case is defined as a case that received TANF assistance in the sample month. For Q5i, this means Item T9="1"; for E2L, it means Question #2="Yes." A newly approved case is one that received TANF assistance in the sample month but not in the two months prior to the sample month. An ongoing case is one that receives aid in the sample month and prior months. The "csv" files will be modified in the near future to include the stratum codes and completed case indicators so that calculation of the case weights may be verified.

Step	Stratum	Code	Completed case criteria	
			Q5i	E2L
1A.	Ongoing 2P	231	Review type "C" AND T9=1	Review type "H", AND Question #2="Yes" AND ongoing
1B.	Ongoing non-2P	101	Review type "A" AND T9=1	Review type "G", AND Question #2="Yes" AND ongoing
1C.	Newly approved-2P	221	Review type "B-2P" AND T9=1	Review type "H", AND Question #2="Yes" AND newly approved
1D.	Newly approved non-2P	121	Review type "B non-2P" AND T9=1	Review type "G", AND Question #2="Yes" AND newly approved

Weighting of the Samples (continued)

Step 2:   Determine the monthly stratum universes using the cash grant caseloads from the CA 237CW and KinGap case counts from the administrative claim reports. Item 8a from the caseload report provides the total number of TANF cash grant cases, but other line items are used to further divide the caseloads into the categories needed. The identification of 2P/non-2P cash grant safety net caseloads are used from Item 13a, and the new application and restorations in Item 7a and 7b.

The formulas in the tables below use the CA 237CW cell references found in the upper left hand corner of each cell in the report (see Attachment 1). The KinGap caseload will be provided upon written request to the county consultants.

Step	Stratum	Code	Universe Formulas using CA 237CW cell numbers	Description
2A.	Ongoing 2P	231	59+117-34-39	Cases receiving cash grant (Part B-Items 8a, Part C-13a, KinGap) minus Applications and Restorations (Part B-Items 7a, 7b)
2B.	Ongoing non-2P	101	60+61+62+118-35-36-37-38-40-41-42-43+KinGap from administrative claim	
2C.	Newly approved 2P	221	34+39	Applications and Restorations-non-2P (Part B-Items 7a, 7b)
2D.	Newly approved non-2P	121	35+36+37+38+40+41+42+43	

Step 3:   For each sample month, calculate the Co WPR case weights for each stratum by dividing the monthly stratum universe by the monthly number of completed cases. The calculation is dependent on whether or not there were any completed federal Q5i newly approved sample cases (Review type "B") in the month. Separate newly approved case weights are only calculated when the Co WPR monthly sample includes federal newly approved Q5i sample cases. Since this may change from month to month, it is important to check your county data for the incidence of these types of cases before choosing the appropriate formula.

Step	Stratum	Code	Case weight calculation	
			With federal newly approved cases (Review type "B")	Without federal newly approved cases (Review type "B")
3A.	Ongoing 2P	231	Step #2A divided by Step #1A	Step #2A+#2C divided by Step #1A+#1C
3B.	Ongoing non-2P	101	Step #2B divided by Step #1B	Step #2B+#2D divided by Step #1B+#1D
3C.	Newly approved 2P	221	Step #2C divided by Step #1C	Step #2A+#2C divided by Step #1A+#1C
3D.	Newly approved non-2P	121	Step #2D divided by Step #1D	Step #2B+#2D divided by Step #1B+#1D

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Computation of the County Work Participation Rates

Once the case weights are established, each case is analyzed to determine its WPR characteristics.

For your convenience, the last four "weighted numerator/denominator" columns of the Co WPR "csv" files contain the weighted value of each case as calculated in Step 3 so that the WPRs can be correctly calculated. The stratum code, completion code, and case weight will be added to the files in the near future. The columns labeled "Weighted_Den" and "Weighted_Num" represent the contribution of the case to the All Family numerator and denominator. The columns labeled "Weighted_Den_2P" and "Weighted_Num_2P" represent the contribution of the case to the two-parent numerator and denominator. There is the possibility of having as many as four different case weights in any one month, and they reflect the strata as defined in the weighting methodology.

TANF cases with no "work eligible" persons (including Kin Gap) are assigned case weights, but are excluded from the WPR calculations. For these cases, zeroes will appear in the weighted numerator/denominator columns.

An example has been included on the next few pages to illustrate this process. The number of completed samples in Step #1 is determined by counting the number of cases marked "completed" by stratum in the monthly reconciliation "csv" files. Please note only a portion of the "csv" file is displayed in the example. Attachment 1 contains the CA 237CW data that is used in the calculations in Step #2.

This example is one where the county had federal newly approved cases in its sample. Using the example, the following is an explanation of the occurrence of multiple case weights in the column "Weighted_Den" in a sample month:

> The cases with the value 119.316 in the column indicate that they are an ongoing non-2P cases that are counted in the All Family denominator.
> The cases with the value 14.918 are ongoing 2P cases in the All Family denominator.
> The cases with the value 56.071 are newly approved non-2P cases in the All Family denominator.
> The cases with the value 7.889 are newly approved 2P cases in the All Family denominator.
> Zeroes indicate that either the case was disregarded from the All Family Denominator or did not receive TANF in January 2007.

The other columns may be interpreted similarly.

To verify the actual work participation rates from the "csv" files, please refer the "How to Weight the County Work Participation Rate (WPR) files" document presented at the March 26th PMC meeting or in the "WPR 07 Documentation.pdf" attachment in the monthly reconciliation email.

Computation of the County Work Participation Rates (continued)

Example: The Jan 07 case weights for County A are calculated as follows

Stratum	Completed Samples (Step #1)	Stratum Universe (Step #2)	Case weight (Step #3)
3A. Ongoing, non-2P	158	18,852	119.316
3B. Ongoing, 2P	61	910	14.918
3C. Newly approved, non-2P	14	785	56.071
3D. Newly approved, 2P	9	71	7.889
Total	242	20,618	Not applicable

A partial "WPRdata_A.csv" file for County A (without several data columns and only a few cases) appears below.

County	Review	Weighted_Den	Weighted_Num	Weighted_Den_2p	Weighted_Num_2p	Stratum Code
A	07A01002	119.316	0	0	0	101
A	07A01003	119.316	119.316	0	0	101
A	07A01004	0	0	0	0	101
A	07B01001	0	0	0	0	121
A	07B01002	7.889	0	7.889	0	221
A	07B01003	56.071	0	0	0	121
A	07B01006	56.071	56.071	0	0	121
A	07C01001	14.918	0	14.918	0	231
A	07C01002	14.918	14.918	14.918	14.918	231
A	07G01001	0	0	0	0	101
A	07G01002	119.316	119.316	0	0	101
A	07H01008	14.918	14.918	14.918	14.918	231
	07H01005	14.918	0	14.918	0	231

California Work Opportunity and Responsibility to Kids (CalWORKs)

Cash Grant Caseload Movement Report

Example: County A	January 2007

PART A. APPLICATIONS FOR AID AND REQUESTS FOR RESTORATION

1. Applications carried forward from last month (Item 1a plus Item 1b)...	1 XXX
a. Item 5 **from last month**	2 XXX
b. Adjustment to Item 1a (Positive or negative number) (Explain in Comments)……………………………………………………..	3 XXX
2. Applications received during the month (Item 2a plus Item 2b)..	4 XXX
a. Applications..	5 XXX
b. Requests for restoration…………….....………….....………….....………	6 XXX
3. Total applications on hand during the month (Item 1 plus Item 2)...…	7 XXX
4. Applications disposed of during the month (Items 4a, 4b and 4c)...…	8 XXX
a. Applications approved [Item 7a plus Item 7b (all columns)]...	9 XXX
b. Applications denied **(Same as Item 1, CA 255 CW)**..	10 XXX
1) Applications denied due to receipt of Diversion payments or services **(Same as Item 10, CA 255 CW)**...................................	11 XXX
c. Other application dispositions (cancellations and withdrawals) **(Same as Items 11 plus 12, CA 255 CW)**	12 XXX
5. Applications/requests pending at the end of the month (Item 3 minus Item 4)..……	13 XXX

PART B. CASELOAD (ALL) **Cases Added**	Two-Parent Families (A)	Zero Parent Families (B)	All Other Families (C)	TANF Timed-Out Cases (D)	Safety Net Cases (E)
6. Cases carried forward from last month (Item 6a plus Item 6b)…………..	14 XXX	15 XXX	16 XXX	17 XXX	18 XXX
a. Item 12 **from last month** …………………….......………….....………	19 XXX	20 XXX	21 XXX	22 XXX	23 XXX
b. Adjustment to Item 6a (Positive or negative number) (Explain in Comments)……………………………………………	24 XXX	25 XXX	26 XXX	27 XXX	28 XXX
7. Cases added during the month (Items 7a through 7d)……………………	29 XXX	30 XXX	31 XXX	32 XXX	33 XXX
a. Applications approved..	34 48	35 179	36 285	37 12	38 10
b. Restorations approved..………..	39 23	40 72	41 205	42 6	43 16
c. Transfers from other counties...……	44 XXX	45 XXX	46 XXX	47 XXX	48 XXX
d. Other approvals (appeal cases, CW 7s, etc.)...................................…….	49 XXX	50 XXX	51 XXX	52 XXX	53 XXX

Caseload					
8. Total cases open during the month (Item 8a plus Item 8b)……………………	54 XXX	55 XXX	56 XXX	57 XXX	58 XXX
a. Cases receiving cash grant ($10 or more)................................………………	59 954	60 7,566	61 8,559	62 1,088	63
1) Children in Item 8a cases.................................…………….	64 XXX	65 XXX	66 XXX	67 XXX	68 XXX
2) Adults in Item 8a cases.....................................……………..	69 XXX		70 XXX	71 XXX	
3) Total persons [Item 8a1) plus Item 8a2)]……………..............	72 XXX	73 XXX	74 XXX	75 XXX	76 XXX
b. Other cases (zero grant cases, less than $10 cases, etc.).....…………	77 XXX	78 XXX	79 XXX	80 XXX	81 XXX
1) Children in Item 8b cases......................................…………….	82 XXX	83 XXX	84 XXX	85 XXX	86 XXX
2) Adults in Item 8b cases......................................………………	87 XXX		88 XXX	89 XXX	
3) Total persons [Item 8b1) plus Item 8b2)]………………............	90 XXX	91 XXX	92 XXX	93 XXX	94 XXX

Case Exits	Two-Parent Families (A)	Zero Parent Families (B)	All Other Families (C)	TANF Timed-Out Cases (D)	Safety Net Cases (E)
9. Cases discontinued during the month **(Same as Item 1, CA 253 CW)** …………………………………………..……..xxx……….. xxx	95 xxx	96 xxx	97 xxx	98 xxx	99 xxx
10. Cases deducted due to transfers **to** another program segment during the month **(Same as Item 12, CA 253 CW)** ……...…….….. xxx	100 xxx	101 xxx	102 xxx	103 xxx	104 xxx
11. Cases added due to transfers **from** another program segment during the month **(Same as Item 13, CA 253 CW)** ………...……..…. xxx	105 xxx	106 xxx	107 xxx	108 xxx	109 xxx
12. Cases open at the end of the month [Item 8 minus (Item 9 and Item 10) plus Item 11]…………………………………………xxx……. xxx	110 xxx	111 xxx	112 xxx	113 xxx	114 xxx
PART C. SAFETY NET					
13. Cases open during the month (Item 13a plus Item 13b)………………………………………xxx……………………………xxx ···	115 xxx		116 xxx		
a. Cases receiving cash grant ($10 or more)......................................………	117 27		118 1,339		
1) Children in Item 13a cases...………	119 xxx		120 xxx		
b. Other cases (zero grant cases, less than $10 cases, etc.)……………..	121 xxx		122 xxx		
1) Children in Item 13b cases...……..	123 xxx		124 xxx		
COMMENTS					
Used in the computation of the Other stratum universes. **The KinGap data is from the Administrative claim forms-available on request. For the example,** KinGap=1035 **Used in the computation of the Two-Parent stratum universes.**					

QUESTIONS AND ANSWERS ABOUT WEIGHTING OF ENTERPRISE II LITE (E2L) CASES FOR WORK PARTICIPATION RATE (WPR) PURPOSES

1. **Is there a minimum number of samples that needs to be completed by each county for the federal sample?** No, the federal sample has a statewide minimum only. The county-specific sample has county specific minimums.

2. **Why include zero-parent cases in the sample?** Both the federal and the county-specific samples are based on the federal requirement that all cases that receive Temporary Assistance for Needy Families (TANF) assistance be included in the sample, which includes cases with no aided adults.

3. **Why are Kinship Guardianship Assistance Payment (KinGap) cases pulled in the samples?** KinGap cases are included in the samples because they are funded with TANF dollars.

4. **Because the statewide WPR is valid only at the statewide level, is E2L being used to determine the county share of the penalty?** Yes, State law (Welfare and Institutions Code Section 10544), requires the Department, when a federal TANF penalty is imposed on the State and after all remedies are exhausted at the federal level, to share 50 percent of that penalty with specified counties under specified conditions. The county-specific WPR was designed to serve as a tool for determining which counties would share in the penalty. The Department is currently developing regulations for passing on penalties to the counties.

5. **Will the Quality Control Information System (Q5i) be used to collect Federal Fiscal Year (FFY) 2008 data?** No, The Research and Development Enterprise Project (RADEP) replaced the Q5i data collection system for federal sample cases in FFY 2008 and beyond (beginning with the October 2007 sample). Q5i will be used for federal data collection and any changes to FFY 2007 sample data (through September 30, 2008.)

6. **Do the codes 231, 101, etc., pertain to the stratum?** Yes. The stratum codes designate how the samples were pulled and are used in the weighting of cases. After June 2008, they appear in the county work participation rate (Co WPR) data file that is sent to each county for data reconciliation purposes. The Co WPR data file is a case-level summary listing of the data from which the work participation rate is calculated for the specific month.

7. **Does the weight affect the sample?** Yes. A sampling methodology must incorporate weighting in order to compensate for the disproportionate sampling from the different sub-groups (e.g., two-parent, non-two-parent, federal new applications).

8. **How do you determine whether a case is new or ongoing?** The determination is made using information from the Medi-Cal Eligibility Data System (MEDS) and is based on whether a case received TANF assistance prior to the sample month. If a case received aid in the two months prior to the sample month, it is considered an ongoing case. In contrast, if a case did not receive aid in the two prior months or just received aid in only the month prior to the sample month, it is considered a new case. This is why the new cases are pulled in the secondary sample.

9. **Is aid history also being collected?** Yes. Some information about the receipt of aid in the past is obtained from MEDS and is considered when drawing the samples.

10. **Is case weight based on the aid code from MEDS?** Yes, the MEDS aid code and eligibility status determine the stratum, which is one factor in determining the case weight. Caseload size from the CA 237CW and whether the case actually received TANF assistance are also considered in weighting cases.

11. **Why is there no weight in some of the numerators?** No weight is applied to the numerator when the case did not meet the work participation requirements or did not receive TANF assistance in the sample month.

12. **The California Work Opportunity and Responsibility to Kids (CalWORKs) Cash Grant Caseload Movement Report (CA 237CW) is mentioned in the case weighting methodology document. What is the source of that data?** The counties submit data for the CA 237CW to the Data Systems and Survey Design Bureau on a monthly basis.

13. **If there is an update on the CA 237CW, are the case weights adjusted?** Yes, the weights are calculated each quarter. If there are changes to the CA 237CW or the county E2L/Q5i data, the weights are updated.

14. **Is the information that is reported in MEDS also in the county data?** The MEDS data is used to pull the sample. If counties find incorrect data in the sample, the MEDS data should be updated by the counties. This is especially important for smaller counties that report a large portion or all of their cases each month.

15. **For sample size, is Attachment 7 of the ACL 08-08 to be used, or do we use the 2400 number in the weighting methodology document?** Counties must use the sample sizes listed on Attachment 7 of All County Letter 08-08.